

Applicant or Patentee:
Application No.:

Woodward HOFFMAN
09/997,716

Attorney Docket No.:
Filed: December 3, 2001

WH1



STATEMENT OF ENTITLEMENT TO SMALL ENTITY STATUS (37 CFR 1.27(a)(2) and (c)(1):
SMALL BUSINESS CONCERN

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official for the small business concern empowered to act on behalf of the concern identified below:

Name of concern: Principia Partners LLC
Address of concern: Harborside Financial Center
902 Plaza Two
Jersey City, NJ 07311-3902

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or both.

I hereby state that rights under contract or law are held by the small business concern identified above with regard to the invention, entitled ACCOUNTING SYSTEM FOR THE DYNAMIC STATE OF THE PORTFOLIO REPORTING by inventor Woodward HOFFMAN, described in

- ☐ the specification herewith
☒ Patent Application Serial No. 09/997,716, filed December 3, 2001
☐ patent No. _____, issued _____.

COMPLETE THE FOLLOWING ONLY IF THE CONCERN LISTED ABOVE DOES NOT HOLD EXCLUSIVE RIGHTS

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.27 or by any concern which would not qualify as a small business concern or a nonprofit organization under 37 CFR 1.27. *NOTE: Separate small entity statements should be executed by each named person, concern or organization having rights to the invention.

Full name _____ Address _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Full name _____ Address _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.27(g)(2))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this statement is directed.

Name of person signing X
Title of person other than owner
Address of person signing

Woodward Hoffman, Partner

X

Harborside Financial Center, 902 Plaza Two, Jersey City, NJ 07311-3902

SIGNATURE

DATE 03/14/2002

U.S. PATENT & TRADEMARK OFFICE
MAR 29 2002

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[+]

Attorney Docket No.: WH1-NP

**DECLARATION FOR UTILITY OR
DESIGN PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing

OR

☒ Declaration Submitted after Initial Filing
(surcharge (37 CFR 1.16 (e)) required)

First Named Inventor

HOFFMAN

COMPLETE IF KNOWN

Application Number

09/997,716

Filing Date

December 3, 2001

Group Art Unit

2164

Examiner Name

Unknown

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ACCOUNTING SYSTEM FOR THE
DYNAMIC STATE OF THE PORTFOLIO
REPORTING

the specification of which

☐ is attached hereto

OR ☒ was filed on December 3, 2001 as United States Application Number 09/997,716
or PCT International Application Number _____
and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (mm/dd/yyyy) | Priority Not Claimed | Certified Copy Attached YES NO | |
|--|---------|-------------------------------------|--------------------------|-----------------------------------|--------------------------|
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (mm/dd/yyyy) |
|-----------------------|--------------------------|
| 60/253,057 | 11/24/2000 |
| | |

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or 365(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

| <i>U.S. Parent Application or PCT Parent Number</i> | <i>Parent Filing Date (MM/DD/YYYY)</i> | <i>Parent Patent Number (if applicable)</i> |
|---|--|---|
| | | |
| | | |

As a named inventor, I hereby appoint Anthony H. Handal, Registration No. 26,275, and all other registered practitioners listed under Customer No.:



00545

PATENT TRADEMARK OFFICE

as my attorneys or agents to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith. Address all telephone calls to Anthony H. Handal at (203) 838-8589.

Address all correspondence to: Customer No.




00545

PATENT TRADEMARK OFFICE

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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|--|---------------|-------|------------------------|---|------------|
| NAME OF SOLE OR FIRST INVENTOR: | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Names (at least one name in full plus other names or initials) | | | Family Name or Surname | | |
| Woodward | | | HOFFMAN | | |
| Inventor's Signature: | | | | Date: | 03/14/2002 |
| Residence: City | Hoboken | State | NJ | Country | US |
| Post Office Address: | 902 Plaza Two | | | | |
| City | Jersey City | State | NJ | Zip | 07311-3902 |
| | | | | Country | US |

☒ Additional inventors are being named on the separate sheet attached hereto.

| | | | |
|--|---|---|------------------|
| NAME OF SOLE OR FIRST INVENTOR: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Names (at least one name in full plus other names or initials) | | Family Name or Surname | |
| Sean | | TOGHER | |
| Inventor's Signature: |  | | Date: 03/14/2002 |
| Residence: City | Jersey City | State NJ | Country US |
| Post Office Address: | 902 Plaza Two | | |
| City | Jersey City | State NJ | Country US |
| | | Zip | 07311-3902 |

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